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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office. U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

| | |
|------------------------|---|
| Attorney Docket No. | 77901 |
| First Inventor | Halligan |
| Title | METHOD AND APPARATUS FOR DOCUMENTATION, ANALYSIS, AUDITING, ACCOUNTING, PROTECTION, REGISTRATION, AND VERIFICATION OF TRADE SECRETS |
| Express Mail Label No. | EL642288669US |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ *Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
Total Pages
4. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets
5. ☒ Oath or Declaration
Total Pages
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37. C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS) PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other Appendix I: Functional Specification (49 pp.)

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP) Of prior application No.: _____ / _____

Prior application information: Examiner _____ Group/Art Unit: _____

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

(Insert Customer No. or Attach bar code label here)

☐

Customer Number or Bar Code Label

or

☐

Correspondence address below

| | | | | | |
|-----------------|---|-----------|----------------|-----------------------------------|------------------|
| Name | Jon P. Christensen | | | | |
| Address | WELSH & KATZ, LTD. 120 South Riverside Plaza, 22nd Floor | | | | |
| City | Chicago | State | Illinois | Zip Code | 60606 |
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| Name Print/Type | Jon P. Christensen | | | Registration No. (Attorney/Agent) | 34,137 |
| Signature | | | | Date | January 10, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB09-12. See
37 C.F.R. § 1.27 and 1.28

TOTAL AMOUNT OF PAYMENT (\$ 1,277

Complete if Known

| | |
|------------------------|------------------|
| Application Number | not yet assigned |
| Filing Date | herewith |
| First Named Inventor | Halligan |
| Examiner Name | not yet assigned |
| Group/Art Unit | not yet assigned |
| Attorney Docket Number | 77901 |

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number
Deposit
Account
Name

23-0920

WELSH & KATZ, LTD.



Charge any Additional Fee Required
Under 37 CFR. 1.16 and 1.17

2. ☐ Payment Enclosed:



Check



Money
Order



Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee (\$) |
|--------------------------|--------------------------|----------|----------|
|--------------------------|--------------------------|----------|----------|

| | | | | | |
|-----|-----|-----|-----|------------------------|-----|
| 101 | 710 | 201 | 355 | Utility filing fee | 355 |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |

SUBTOTAL (1)

(\$ 355

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|---------------------------|--------------|----------------|----------|
| 118 | -20**= 98 | 9 | 882 |
| 4 | -3**= 1 | 40 | 40 |
| Multiple Dependent Claims | | | |

**or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee (\$) | Fee Description |
|--------------------------|--------------------------|----------|----------|---|
| 103 | 203 | 18 | 9 | Claims in excess of 20 |
| 102 | 202 | 80 | 40 | Independent claims in excess of 3 |
| 104 | 204 | 270 | 135 | Multiple dependent claim |
| 109 | 209 | 80 | 40 | Reissue independent claims over original patent |
| 110 | 210 | 18 | 9 | Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$ 922

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee (\$) | Fee Description |
|--------------------------|--------------------------|----------|----------|-----------------|
|--------------------------|--------------------------|----------|----------|-----------------|

| | | | | |
|-----|--------|-----|--------|--|
| 105 | 130 | 205 | 65 | Surcharge-late filing fee or oath |
| 127 | 50 | 227 | 25 | Surcharge-late provisional filing fee or cover sheet |
| 139 | 130 | 139 | 130 | Non-English Specification |
| 147 | 2,520 | 147 | 2,520 | For filing a request for reexamination |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action |
| 115 | 110 | 215 | 55 | Extension for reply within first month |
| 116 | 390 | 216 | 195 | Extension for reply within second month |
| 117 | 890 | 217 | 445 | Extension for reply within third month |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month |
| 119 | 310 | 219 | 155 | Notice of Appeal |
| 120 | 310 | 220 | 155 | Filing a Brief in support of an appeal |
| 121 | 270 | 221 | 135 | Request for oral hearing |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) |
| 143 | 440 | 243 | 220 | Design issue fee |
| 144 | 600 | 244 | 300 | Plant issue fee |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications |
| 126 | 240 | 126 | 240 | Submission of Information Disclosure Stmt |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR § 1.129(b)) |

Other fee (specify) _____

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 0

SUBMITTED BY

Name (Print/type) Jon P. Christensen

Registration No. (Attorney/Agent)

34,137

Telephone

(312) 655-1500

Signature

Date

January 10, 2001